

October 23, 2013

**Re: Record Date Notification Timing**

Dear NYSE Arca Listed Company Executive:

The staff of NYSE Regulation, Inc. (“Staff”) would like to notify you of an important change that will affect all issuers with securities listed on NYSE Arca, Inc. (“NYSE Arca”). Effective October 28, 2013, NYSE Arca Equities Rule 5.3(i)(1)(i)(H) will be modified to align NYSE Arca’s record date notice period requirements with those of the New York Stock Exchange LLC and NYSE MKT LLC.

Specifically, Rule 5.3(i)(1)(i)(H) currently requires that listed issuers notify NYSE Arca at least ten business days in advance of a record date for:

- the payment (or non-payment) of dividends;
- the proposed issuance of rights to subscribe;
- the closing of the stock transfer books; or
- the taking of a record of shareholders for any purposes.

The Securities and Exchange Commission has approved NYSE Arca’s request to amend Rule 5.3(i)(1)(i)(H) to replace the word “business” with the word “calendar.” At the opening of business on October 28, 2013, the text of the rule will be:

Any notice with respect to the payment or non-payment of dividends should be provided to the Corporation at least ten calendar days prior to record date. The same notice requirements apply to proposed issuance of rights to subscribe, closing of stock transfer books, or taking a record of shareholders for any purposes.

Thank you for your attention to this matter. If you have questions or concerns regarding the notification period for dividends, please contact Kerri Ramirez at (212)656-5589 or e-mail to [kramirez@nyx.com](mailto:kramirez@nyx.com). If you have other questions regarding the rule change, please contact me at (312)442-7832 or email to [cgray@nyx.com](mailto:cgray@nyx.com).

Yours truly,



Craig A. Gray  
Managing Director, Corporate Compliance

cc: Ms. Janice O’Neill, NYSE Regulation, Inc.  
Ms. Laura Morrison, NYSE Euronext  
Ms. Kerri Ramirez, NYSE Euronext